

Summary of Changes

to

P 151.1-2B  
Occurrence Categorization/Classification and Reporting

**Revised Version Issued as P 151.1-2C of 3/11/04**

NETL Procedure 151.1-2B, Occurrence Categorization/Classification and Reporting, of 4/23/03, has undergone revisions. This Procedure has been revised to reflect the new NETL procedure promulgated to address non-emergency occurrence reporting. This procedure has been renamed “Emergency Categorizations, Classifications, and Notifications” and was revised to eliminate redundancy with the new procedure, reflect changes in emergency categorizations and classifications, and changes to local notification activities. Please replace NETL Procedure 151.1-2B with NETL Procedure 151.1-2C.

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# U.S. Department of Energy

National Energy Technology Laboratory

## PROCEDURE

P 151.1-2C

DATE: 3/11/04

**SUBJECT:** EMERGENCY CATEGORIZATIONS, CLASSIFICATIONS, AND NOTIFICATIONS

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1. PURPOSE. To provide for categorization/classification and reporting of emergencies at NETL.
2. CANCELLATION. NETL Procedure 151.1-2B, Occurrence Categorization/Classification and Reporting, of 4/23/03.
3. REFERENCES.
  - a. DOE Order 151.1, [Comprehensive Emergency Management System](#).
  - b. DOE Order 231.1, [Environment, Safety, and Health Reporting](#).
  - c. DOE Notice 471.3, [Reporting Incidents of Security Concern](#).
  - d. DOE Manual 231.1-2, [Occurrence Reporting and Processing of Operations Information](#).
  - e. DOE Guide 151.1-1, V3-3, [Categorization and Classifications of Operational Emergencies](#).
  - f. NETL Procedure 231.1-1, [Occurrence Reporting and Processing of Operations Information](#).
  - g. NETL Procedure 231.1-2, [Injury/Illness/Property Damage Investigation and Reporting](#).
4. DEFINITIONS. The following definitions apply to this Procedure:
  - a. Facility Manager -- An individual or designee with direct responsibility for operation of the DOE ORPS system and notification of the DOE HQ EOC concerning ORPS reportable occurrences. The notification of the DOE HQ EOC is delegated to the NETL Emergency Directors if the event is declared an emergency and results in the activation of the NETL EOC.

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**INITIATED BY:** Office of Institutional and Business Operations  
**NO. OF PAGES/ATTACHMENTS:** 5 pages, 3 attachments

- b. Facility Representative -- An individual or designee who is designated as the NETL Manager and point-of-contact with the day-to-day authority and responsibility to administer NETL's ORPS program.
- c. IET -- Incident Evaluation Team.
- d. Occurrence Categorization -- A manager's decision on the significance and urgency of a situation in order to determine the appropriate level of response and notification. The three occurrence categories are, listed in increasing significance, off-normal occurrence, unusual occurrence, and operational emergency.
- e. Occurrence Reporting -- Providing a written evaluation as per DOE Order 231.1 and DOE Order 151.1 of an event or condition that is prepared in sufficient detail to enable the reader to assess its significance, consequences, or implication and to evaluate the actions being proposed or employed to correct the condition or to avoid recurrence.
- f. Operational Emergency -- Emergencies are defined in DOE Order 151.1, Comprehensive Emergency Management System. Emergency occurrences are the most serious occurrences and require an increased alert status for on-site personnel and, in specified cases, for off-site authorities. The detailed initial notification requirements, definitions, criteria, and classifications of emergencies and appropriate responses are provided in DOE Order 151.1. Verbal and written occurrence reports shall be completed in accordance with DOE Order 151.1.

5. QUALITY CONTROL. This Procedure shall be tested periodically through the conduct of drills and exercises and actual occurrence reporting. Noted weaknesses will be corrected through procedure revisions. This NETL Directive will be reviewed (and revised as needed) by the Emergency Response Program Manager each year for the first 3 years after initial implementation and once every 3 years thereafter to ensure that it is kept up-to-date with current requirements. More frequent reviews and revisions could occur due to significant regulatory and site condition changes.

## 6. RESPONSIBILITIES.

- a. The NETL Director has overall responsibility for ensuring that required reports are completed and approving reports prior to distribution.
- b. The Emergency Director shall be responsible for categorizing emergency events and performing/ supervising the emergency notification requirements as outlined in this Procedure.
- c. NETL Employees shall report all occurrences to the Security Office, provide information for the categorizing of the event, and assist in the preparation of the required reports. Employees shall report near misses directly to the ES&H Division Director.

- d. Security Representative shall receive all reports of occurrences and perform their duties as stated in Procedure 151.1-3 and DOE Notice 471.3.

7. TRAINING REQUIREMENTS.

- a. Emergency Director, EOC Coordinator, and potential designees shall receive initial and annual training on this Procedure. Training may be provided through drills and simulated reporting exercises.
- b. NETL employees shall be trained in general occurrence reporting criteria by CBT training in GEERT.

8. DOCUMENT CONTROL.

- a. All documents generated during an actual event or an annual exercise shall be maintained by the ERPM or designee.
- b. Copies of all Final Occurrence Reports shall be submitted to the DOE Headquarters EOC/ORPS database.
- c. The most recent and official controlled hard copy version of this directive shall reside with NETL's Directive Coordinator. An electronic version of the controlled directive shall be placed on the NETL Intranet for employee use. Printed hard copies of the electronic version (e.g., those printed from the Intranet) shall be considered non-controlled documents.

9. PROCEDURE. The following steps shall be taken whenever an abnormal event is identified by anyone at NETL.

a. Initial Notification

- (1) NETL workers shall report all abnormal conditions to Security, phone extension 11, immediately.
- (2) Security will inform the Incident Evaluation Team of the abnormal condition. If the abnormal condition appears to be a reportable occurrence, the On-Scene Commander will inform the Emergency Director or EOC Coordinator, who will categorize the event.
- (3) All NETL Managers shall ensure that any abnormal condition in their areas is brought to the attention of Security (x11).
- (4) If the EOC is activated, the ED will review the facts as they are known of the event and determine the category by reviewing the attachments. The ED will be acting as a Facility Manager to make prompt notifications for those categories which require it.

If the event requires a prompt notification, the ED or his/her designee will perform the notifications.

A notification must be made to a Facility Manager to fulfill written report requirements.

- (5) If the EOC is not activated, but the event requires a prompt notification, refer to NETL Procedure 231.1-1, Occurrence Reporting and Processing of Operations Information. A Facility Manager must be contacted in order to fulfill reporting requirements.

It is the responsibility of a member of the Incident Evaluation Team to refer the notification to Security Dispatcher for contacting a Facility Manager.

- (6) If the event occurs after-hours and requires a prompt notification, responding members of the Incident Evaluation Team or an On-Scene Commander will ensure that a Facility Manager is contacted for event categorization and notifications, or an ED is contacted if there is a need for EOC staffing due to an emergency.
- (7) Refer to Attachment III for information regarding notifications to the Joint Terrorism Task Force and the NETL Safeguards and Security Officer.

b. Prompt Notifications

The timetable for which reporting must be performed for “prompt notifications” and follow-up written reports is described in NETL Procedure 231.1-1, Occurrence Reporting and Processing of Operations Information.

“Prompt Notification” to the HQ EOC is generally defined as a notification that occurs as soon as practical but in less than 2 hours after the categorization.

If the event is an operational emergency, prompt notifications are required. However, other types of events require prompt notifications. EDs and OSCs will need to be familiar with the significance criteria and review the entire attachment.

c. Operational Emergencies

Operational Emergencies are unplanned, significant events or conditions that require time-urgent response from outside the immediate/affected site/facility or area of the incident. Such emergencies are caused by, involve, or affect DOE/NNSA facilities, sites, or activities. Such emergencies represent, cause, or have the potential to cause the events or conditions described in the Attachment II table.

Incidents that can be controlled by employees or maintenance personnel in the immediate/affected facility or area are not operational emergencies. Incidents that do not pose a

significant hazard to safety, health, and/or the environment and that do not require a time-urgent response are not Operational Emergencies.

Note that the initiating events described in the attachment are not all-inclusive. Other initiating events that warrant categorization as Operational Emergencies may fit the general description above. Less severe events are reported through the process described in DOE Order 231.1A, Environment, Safety, and Health Reporting, dated August 19, 2003.

Events that involve a hazardous material must be further classified as an Alert, Site Area Emergency, or General Emergency. Descriptors for these events are in Attachment II.

An operational emergency must be declared when events occur that represent a significant degradation in the level of safety at a site/facility and that require time-urgent response efforts from outside the site/facility. These events do not require further classification (i.e., as Alert, Site Area Emergency, or General Emergency). Such events are listed in Attachment II.

d. Types and Categories of Reportable Occurrences

Types of reportable occurrences involve, but are not limited to, facility conditions; environmental concerns; personnel safety; radiological protection; safeguards and security; transportation; loss or damage to DOE property; defective items, materials, or services (including counterfeit/suspect parts); nuclear explosive events; and cross-category items to include related occurrences, near-miss events, and potential concerns.

10. ATTACHMENTS.

- Attachment I -- Security Officer/Dispatcher and IET Notification.
- Attachment II -- Emergency Notifications.
- Attachment III -- Security and FBI Reporting.

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Associate Director, OIBO

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## ATTACHMENT I

### Security Officer/Dispatcher and IET Notification

Purpose: Generating Call-Out Instructions

Goal of Emergency Response Program, per DOE Order 151.1, is to protect the safety and health of employees and public, property, environment, and national security. Decisions should be consistent with those goals but in compliance with contracts and within the training provided to the ERO and Security Officers.

This Procedure provides clarification of the roles and responsibilities of security officers and the Incident Evaluation Team (IET). The IET consists minimally of an On-Scene Commander (OSC) and other technical experts, such as the Safety Officer (as needed), who will perform initial investigations of incidents on behalf of the Emergency Response Organization. The procedures vary site to site and from normal business hours to other than normal business hours.

PGH

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Event - PGH	Normal Business Hours	Off-Normal Business Hours
<p><b>Fire Alarm</b></p>	<p><b>Security Officer:</b> Check the panel, dispatch the ERO (IET, Security Team, Chief Fire Wardens) via pagers, inform NETL via radio broadcast on the DOE frequency, report available information to the ERO, call community responders as requested by the IET, inform NIOSH via radio broadcast on the NIOSH frequency after offsite emergency services are notified, and serve in support roles as requested and within training. <b>IET:</b> Investigate source of alarm or report of fire/smoke, make the decision whether there will be further call outs to offsite fire services and refer the order to security dispatch to make the call.</p>	<p><b>Security Officer:</b> Check the panel, dispatch the IET via pager/telephone, and go to the building to investigate the alarm as conditions allow. Officers should not risk their own safety to investigate alarms. If there is smoke/fire, call the fire department, and perform the Fire Warden function to account for personnel. Notify NIOSH Security via telephone or radio. The Security Officer is <b>Point of Contact</b> until the fire department arrives. Security shall call the <b>SSC</b> responsible for fire alarm maintenance as stipulated by inter-organizational agreements to reset the fire system to normal operation as necessary. <b>IET:</b> If there is a notification of fire, report to the site. <b>Most Senior ERO Official:</b> Assume function of Emergency Director and site representative, and begin emergency response functions in accordance with agreements with Broughton Fire Department.</p>

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Event - PGH	Normal Business Hours	Off-Normal Business Hours
<p><b>Medical Emergency</b></p>	<p><b>Security Officer:</b> Notify the OHU and then issue the standard notification to the IET by pager activation. Inform NIOSH Security via radio broadcast on the NIOSH frequency. <b>First Arriving Teams:</b> Ensure the safety of the scene and the safety of the response. Response may be delayed if hazardous materials or released hazardous gas is present. Report information back to the security dispatcher so that further information can be relayed to other responders, such as the need for the HAZMAT team. Report back to Security to order dispatch of offsite services, such as an ambulance. Initiate medical response within scope of training. IET response to the child care facility will occur in situations in which the provider determines that the patient is in a life-threatening circumstance. The IET will take action to ensure that an appropriate standard of care is provided, either by onsite or offsite medical personnel.</p>	<p><b>Security Officer:</b> Investigate the situation (which includes seeking additional information by asking the patient or witnesses for details). The Security Officer shall perform first-aid activities as an authorized designated first aid provider. Contact offsite emergency services as needed and make a radio broadcast or telephone call to NIOSH. Notify the IET via pager/telephone, but the emphasis during after hours calls for timely and definitive medical response means that the first call will likely go to community emergency medical services. The officer may also be asked to call OHU nurses after hours if the employee's medical file is needed. Dispatch and response applies to the child care facility as any other NETL facility. <b>IET:</b> Report to the site if needed.</p>

<p><b>Gas Alarms, Chemical or Biological Releases</b></p>	<p><b>Security Officer:</b> Dispatch IET, Gas Alarm Team/HAZMAT Team by pager, inform NETL via radio broadcast on the DOE frequency, provide support as directed within training limits (such as establishing perimeter control outside of the hazard zone, directing traffic, performing dispatch duties, etc.). <b>IET:</b> Investigate alarms and releases, and perform emergency response operations. Establish hazard zone.</p>	<p><b>Security Officer:</b> Upon receiving alarm notification or discovering release, dispatch IET and Gas Alarm Team or HAZMAT Team. Perform Fire Warden function as required to account for personnel. The Security Officer is the Point of Contact until IET arrives. <b>IET/Gas Alarm Team:</b> Report to site as needed. Order further call outs or authorize the Security Dispatcher to call offsite emergency services before arrival based on information collected at the scene. Assume roles of Emergency Director, OSC, and site Point of Contact from the Security Officer upon arrival.</p>
<p><b>Workplace Violence/ Security Threat</b></p>	<p><b>Security Officer:</b> Upon receiving a report or discovering an incident of workplace violence or trespassing, dispatch the IET and call for Law Enforcement Officers (LEO) if warranted. <b>IET:</b> Upon investigation of reports of workplace violence, determine whether LEO is needed and request Security Dispatcher to call LEO if the call has not already been placed. If there appears to have been a crime, LEO must be called. Depending upon the nature of the event, determine whether HAZMAT response is necessary.</p>	<p><b>Security Officer:</b> Make initial call for help or investigation to LEO, notify the IET. The Security Officer is in command of the scene until the IET or LEO arrives. Depending upon the nature of the event, IET may authorize further calls out before they arrive onsite. <b>IET:</b> Gather information from Security Dispatcher. Depending upon the nature of the event, authorize further calls to community response or Federal law enforcement. Report to the site. Assume roles of Emergency Director, OSC, and site representative. Determine if further call outs are necessary, and categorize event. Depending upon the nature of the event, determine whether HAZMAT response is necessary.</p>
<p><b>Maintenance Calls</b></p>	<p><b>Security Officer:</b> Place call to maintenance supervisor personnel to alert them of the problem. If the problem is project related, the caller or project personnel may need to fill out a work order.</p>	<p><b>Security Officer:</b> Upon discovery or notification of a leak or disruption of services, the Security Officer places a call to the maintenance supervisor to provide information so that the maintenance group's call-out procedures may be properly implemented.</p>

MGN

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Event - MGN	Normal Business Hours	Off-Normal Business Hours
<p><b>Fire Alarm</b></p>	<p><b>Security Officer:</b> Fire alarms ring directly to Secure Us and to the Security Dispatch Office. Upon receiving the alarm, the Security Officer notifies the IET for investigation. The Officer may be requested to call Secure Us (296-2545) directly to call off community fire response if the alarm is proven false. <b>IET:</b> Investigate alarms to determine if they are valid. Initiate response if the alarms are valid, or request dispatch be called off if they aren't.</p>	<p><b>Security Officer:</b> Fire alarms ring directly to Secure Us and to the Security Dispatch Office. Upon receiving an alarm, notify the OSC and prepare to receive and direct the first arriving unit from the fire department <b>to the scene</b>. MFD first arriving unit will likely arrive before an Officer can investigate and clear the alarm during off-normal business hours. The Security Officer is <b>the Point of Contact for the site</b> until <b>the OSC</b> arrives, and performs the role of a Fire Warden by accounting for personnel in the area. <b>OSC:</b> If there is a notification of fire, report to the site. <b>Most Senior ERO Official:</b> Assume function of Emergency Director and site representative, and begin emergency response functions in accordance with agreements with Morgantown Fire Department.</p>
<p><b>Medical Emergency</b></p>	<p><b>Security Officer:</b> Call the OHU for emergency medical treatment, with an immediate secondary call to the OSC. If requested by medical personnel or the OSC, call 911 to request an ambulance response. <b>IET:</b> Ensure scene safety, and arrange for community medical response if needed.</p>	<p><b>Security Officer:</b> Upon receiving notification of a medical emergency or traumatic injury beyond simple first aid treatment, call community emergency services. Place a secondary call to the OSC. Caution: Officers must be cautious that the person is not contaminated or in a hazardous atmosphere before directly intervening to help the person. <b>OSC:</b> Report to the site if needed.</p>

Event - MGN	Normal Business Hours	Off-Normal Business Hours
<p><b>Gas Alarms, Chemical or Biological Releases</b></p>	<p><b>Security Officer:</b> Dispatch IET, provide support as directed within training limits (such as establishing perimeter control outside of the hazard zone, directing traffic, performing dispatch duties, etc.). <b>IET:</b> Investigate alarms and releases, and perform emergency response operations. Establish hazard zone before requesting security support at the scene.</p>	<p><b>Security Officer:</b> Upon receiving alarm notification or discovering release, call the OSC. Perform Fire Warden function as required to account for personnel. The Security Officer is the site Point of Contact of the scene until the OSC or MFD arrives if an immediate offsite response is warranted. <b>OSC:</b> Report to site, if needed. Order further call outs or authorize the officer to call offsite emergency services before arrival if warranted based on information collected at the scene. Assume roles of Emergency Director, OSC, and Point of Contact from the Security Officer upon arrival.</p>
<p><b>Workplace Violence/ Security Threat</b></p>	<p><b>Security Officer:</b> Upon receiving a report or discovering an incident of workplace violence or trespassing, dispatch the IET and call for Law Enforcement Officers (LEO) if warranted. <b>IET:</b> Upon investigation of reports of workplace violence, determine whether LEO is needed and request Security Dispatcher to call LEO. If there appears to have been a crime, LEO must be called. Depending upon the nature of the event, determine whether HAZMAT response is necessary.</p>	<p><b>Security Officer:</b> Make initial call for help or investigation to LEO, with a secondary call to the OSC. The Security Officer is the Point of Contact until the OSC arrives. Depending upon the nature of the event, IET may authorize further calls out before they arrive on site. <b>OSC:</b> Gather information from Security Dispatcher. Depending upon the nature of the event, authorize further calls to community response or Federal law enforcement. Report to the site, if needed. Assume roles of Emergency Director, OSC, and site Point of Contact. Determine if further call outs are necessary and categorize event. Depending upon the nature of the event, determine whether HAZMAT response is necessary.</p>

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Event - MGN	Normal Business Hours	Off-Normal Business Hours
<p><b>Maintenance Calls</b></p>	<p><b>Security Officer:</b> If the maintenance problem is causing damage, notify the IET (to control scene and help mitigate damage, determine if chemicals are involved, and determine if occurrence reporting is required), and call Central Work Control to dispatch maintenance personnel.</p>	<p><b>Security Officer:</b> Upon discovering a maintenance problem, call the OSC to determine instructions for calling out maintenance employees. <b>OSC:</b> If the problem is advanced to the point where it is causing property damage, or there are mitigating circumstances, report to the site to determine if further emergency response is warranted and to determine if hazardous situations exist that require further call outs of the ERO.</p>

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## ATTACHMENT II

### Emergency Notifications

**EMERGENCY NOTIFICATIONS**

All operational emergencies require a prompt notification to DOE HQ EOC. There are other occurrences which fall in categories other than operational emergencies which require a prompt notification. EDs/EOCCs should scan the entire list to ensure that properly timed reporting is accomplished.

DOE HQ EOC personnel may ask you about an “R” designation for the Significance Criteria. This special designation applies to reoccurrences of the same event. Applying this designation properly will likely to require an investigation and comparison of past occurrences done by the facility representative or facility manager. It likely can’t be done at the time of an emergency response.

See Attachment 3 for further security-related designations which may require a report to DOE HQ and to the FBI.

**Group 1 -- Operational Emergencies**

Operational emergencies which require no further classification.

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Event (Criterion) Operational Emergencies	Sequence	Significance Criteria	Notification to HQ
<p><b>Health and Safety.</b> The following events or conditions represent, cause, or have the potential to cause serious health and safety impacts to workers or members of the public.</p> <p>(1) Discovery of radioactive or other hazardous material contamination from past DOE or NNSA operations that is causing or may reasonably be expected to cause uncontrolled personnel exposures exceeding protective action criteria.</p> <p>(2) An offsite hazardous material event not associated with DOE or NNSA operations that is observed to have or is predicted to have an impact on a DOE or NNSA site such that protective actions are required for onsite DOE or NNSA workers.</p> <p>(3) An occurrence that causes or can reasonably be expected to cause significant structural damage to DOE or NNSA facilities, with confirmed or suspected personnel injury or death or substantial degradation of health and safety.</p> <p>(4) Any facility evacuation in response to an actual occurrence that requires time urgent response by specialist personnel, such as hazardous material responders or mutual aid groups not normally assigned to the affected facility.</p> <p>(5) An unplanned nuclear criticality resulting in actual or potential facility damage and/or release of radioactive material to the environment.</p> <p>(6) Any non-transportation-related mass casualty event.</p>	<p>1</p>	<p>E</p>	<p>Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.</p>
<p><b>Environment.</b> The following events or conditions represent, cause, or have the potential to cause serious detrimental effects on the environment.</p> <p>(1) Any actual or potential release of hazardous material or regulated pollutant to the environment, in a quantity greater than five times the Reportable Quantity (RQ) specified for such material in 40 CFR 302, that could result in significant offsite consequences, such as major wildlife kills, wetland degradation, aquifer</p>	<p>1</p>	<p>E</p>	<p>Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.</p>

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Event (Criterion) Operational Emergencies	Sequence	Significance Criteria	Notification to HQ
contamination, or the need to secure downstream water supply intakes. (2) Any release of greater than 1,000 gallons (24 barrels) of oil to inland waters; greater than 10,000 gallons (238 barrels) of oil to coastal waters; or a quantity of oil that could result in significant offsite consequences (e.g., need to relocate people, major wildlife kills, wetland degradation, aquifer contamination, need to secure downstream water supply intakes, etc.) (Oil as defined by the Clean Water Act [33 U.S.C. 1321] means any kind of oil and includes petroleum.)			
<b>Security and Safeguards.</b> The following events or conditions represent, cause, or have the potential to cause degradation of security or safeguards conditions with actual or potential direct harm to people or the environment. (1) Actual unplanned detonation of an explosive device or a credible threatened detonation resulting from the location of a confirmed or suspicious explosive device. (2) An actual terrorist attack or sabotage event involving a DOE or NNSA site/facility or operation. (3) Kidnapping or the taking of hostage(s) involving a DOE or NNSA site/facility or operation. (4) Actual theft or loss of a Category I or II quantity of Special Nuclear Materials or other hazardous material that, if released, could endanger workers, the public, or the environment. (5) Damage or destruction of a site or facility by natural or malevolent means sufficient to expose classified information to unauthorized disclosure.	1	E	
<b>Offsite DOE Transportation Activities.</b> The following events or conditions represent an actual or potential release of radiological or non-radiological hazardous materials from a DOE or NNSA shipment. (1) The radiation dose from any release of radioactive material or the concentration in air from any release of other hazardous material is expected to require establishment of a protective action zone. ("Protective action zone" is defined in the 2000 Emergency Response Guidebook.) (2) Failures in safety systems threaten the integrity of a nuclear weapon, component, or test device. (3) A transportation accident results in damage to a nuclear explosive, nuclear explosive-like assembly, or Category I/II quantity of Special Nuclear Materials.	1	E	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.

**Operational emergencies which require further classification.**

**Alert**

Event (Criterion) Operational Emergencies Which Require Further Classification	Sequence	Significance Criteria	Notification to HQ
<p><b>Alert.</b> An Alert shall be declared when events are predicted, are in progress, or have occurred that result in one or more of the following:</p> <p>(1) An actual or potential substantial degradation in the level of control over hazardous materials (radiological and non-radiological).</p> <p>(a) The radiation dose from any release to the environment of radioactive material or a concentration in air of other hazardous material is expected to exceed either—</p> <p>1 the applicable Protective Action Guide or Emergency Response Planning Guideline at or beyond 30 meters from the point of release to the environment or</p> <p>2 a site-specific criterion corresponding to a small fraction of the applicable Protective Action Guide or Emergency Response Planning Guideline at or beyond the facility boundary or exclusion zone boundary.</p> <p>(b) It is not expected that the applicable Protective Action Guide or Emergency Response Planning Guideline will be exceeded at or beyond the facility boundary or exclusion zone boundary.</p> <p>(2) An actual or potential substantial degradation in the level of safety or security of a nuclear weapon, component, or test device that would not pose an immediate threat to workers or the public.</p> <p>(3) An actual or potential substantial degradation in the level of safety or security of a facility or process that could, with further degradation, produce a Site Area Emergency or General Emergency.</p>	<p>2</p>	<p>E</p>	<p>Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P231.1-1 for written notification schedule.</p>

**Site Area Emergency**

Event (Criterion) Site Area Emergencies	Sequence	Significance Criteria	Notification to HQ
<p><b>A Site Area Emergency</b> shall be declared when events are predicted, in progress, or have occurred that result in one or more of the following situations.</p> <p>(1) An actual or potential major failure of functions necessary for the protection of workers or the public. The radiation dose from any release of radioactive material or concentration in air from any release of other hazardous material is expected to exceed the applicable Protective Action Guide or Emergency Response Planning Guideline beyond the facility boundary or exclusion zone boundary. The Protective Action Guide or Emergency Response Planning Guideline is not expected to be exceeded at or beyond the site boundary.</p>	<p>3</p>	<p>E</p>	<p>Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.</p>

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Event (Criterion) Site Area Emergencies	Sequence	Significance Criteria	Notification to HQ
(2) An actual or potential threat to the integrity of a nuclear weapon, component, or test device that may adversely impact the health and safety of workers in the immediate area, but not the public. (3) Actual or potential major degradation in the level of safety or security of a facility or process that could, with further degradation, produce a General Emergency.			

**General Emergency**

Event (Criterion) General Emergencies	Sequence	Significance Criteria	Notification to HQ
<p><b>A General Emergency</b> shall be declared when events are predicted, in progress, or have occurred that result in one or more of the following situations.</p> (1) Actual or imminent catastrophic reduction of facility safety or security systems with potential for the release of large quantities of hazardous materials (radiological or non-radiological) to the environment. The radiation dose from any release of radioactive material or a concentration in air from any release of other hazardous material is expected to exceed the applicable Protective Action Guide or Emergency Response Planning Guideline at or beyond the site boundary. (2) Actual or likely catastrophic failures in safety or security systems threatening the integrity of a nuclear weapon, component, or test device that may adversely impact the health and safety of workers and the public.	4		Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.

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Group 2 -- Personal Safety

Event (Criterion) Personal Safety Subgroup A -- Occupational Illnesses/Injuries	Sequence	Significance Criteria	Notification to HQ
Any occurrence due to DOE operations resulting in a fatality or terminal injury or illness. For fatalities caused by overexposures, the intent of this criterion is to report those caused by acute rather than chronic effects.	1	1	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Any single occurrence requiring in-patient hospitalization of three or more personnel.	2	1	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Any single occurrence resulting in three or more personnel having Days Away, Restricted or Transferred (DART) cases per 29 CFR Part 1904.7.	3	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Personnel exposure to chemical, biological or physical hazards above limits established by the Occupational Safety and Health Administration (refer to 29 CFR Part 1910) or American Conference of Governmental Industrial Hygienists, whichever is lower, and that requires the administration of medical treatment beyond simple first aid on the same day as the exposure. (29 CFR 1904.7(b)(5)(i) and (ii) define "medical treatment" and "first aid.")	4	2	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Personnel exposure to chemical, biological, or physical hazards above limits established by the Occupational Safety and Health Administration (refer to 29 CFR Part 1910) or American Conference of Governmental Industrial Hygienists.	5	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).
Any single occurrence resulting in a serious occupational injury. A serious occupational injury is an occupational injury that: (a) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (b) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose, or a minor chipped tooth); (c) Causes severe hemorrhages or severe damage to nerves, muscles, or tendons; (d) Involves any internal organ; or (e) Causes second- or third-degree burns, affecting more than 5 percent of the body surface.	6	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).

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Event (Criterion) Personal Safety Subgroup B -- Fires/Explosions	Sequence	Significance Criteria	Notification to HQ
Any unplanned fire or explosion within primary confinement/containment boundaries for nuclear or hazardous material within a facility. <b>Note:</b> Facility specific procedures need to define what constitutes the primary confinement/containment boundary.	1	1	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Any unplanned fire or explosion in a nuclear facility that activates a fire suppression system (e.g., halon discharge, sprinkler heads activating) is extinguished by a fire department, or disrupts normal facility operations. <b>Note:</b> The activation or degradation of Safety Class and Safety Significant fire suppression systems are addressed by Group 4 criteria.	2	2	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Any unplanned fire in a non-nuclear facility that: (a) Activates a fire suppression system, (b) Takes longer than 10 minutes to extinguish following the arrival of fire protection personnel, or (c) Disrupts normal operations in a high hazard facility.	3	3	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule; prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).
Any unplanned wild land fire (e.g., forest fire, grassland fire) or other fire that has the potential to threaten the DOE facility.	4	4	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P231.1-1 for written notification schedule.

Event (Criterion) Subgroup C -- Hazardous Energy Control	Sequence	Significance Criteria	Notification to HQ
Failure to follow a prescribed hazardous energy control process (e.g., lockout/tagout) or disturbance of a previously unknown or mislocated hazardous energy source (e.g., live electrical power circuit, steam line, pressurized gas) resulting in a person contacting (burn, shock, etc.) hazardous energy.	1	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Failure to follow a prescribed hazardous energy control process (e.g., lockout/tagout) or a site condition that results in the unexpected discovery of an uncontrolled hazardous energy source (e.g., live electrical power circuit, steam line, pressurized gas). This criterion does not include discoveries made by zero-energy checks and other precautionary investigations made before work is authorized to begin.	2	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).

Group 3 -- Nuclear Safety Basis

Subgroup A -- Technical Safety Requirement Violations

Event (Criterion) Nuclear Safety Basis Subgroup A -- Technical Safety Requirement Violations	Sequence	Significance Criteria	Notification to HQ
Any violation of a Hazard Category 1, 2, or 3 nuclear facility's Technical Safety Requirement (or Operational Safety Requirement) Safety Limit. <u>Note:</u> Safety Limits are high-level TSR controls, used infrequently across the DOE Complex. As defined in 10 CFR 830.3, a Safety Limit is a limit on process variables associated with those safety class physical barriers, generally passive, that are necessary for the intended facility function and that are required to guard against the uncontrolled release of radioactive materials.	1	1	Prompt notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Any violation or noncompliance of a Hazard Category 1, 2, or 3 nuclear facility's Technical Safety Requirement (or Operational Safety Requirement) Limiting Control Setting, Limiting Condition for Operation, Administrative Control, or Surveillance Requirement. <u>Exception:</u> An event consisting solely of a surveillance test performed after the prescribed surveillance period, and in which the equipment was found to be capable of performing its specified safety function. (See separate criterion for late surveillance tests below.)	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Any violation or noncompliance of a Hazard Category 1, 2, or 3 nuclear facility's DOE approved documented safety analysis (issued pursuant to 10 CFR 830.204 and including any Basis for Interim Operation (BIOs), etc.), or DOE issued Safety Evaluation Report that are not addressed by Criteria 3A(1) and 3A(2). <u>Exceptions:</u> (a) An event consisting solely of a violation of a safety management program (e.g., quality assurance, personnel training) cited in the Documented Safety Analysis. (b) An event consisting solely of a surveillance test performed after the prescribed surveillance period, and in which the equipment was found to be capable of performing its specified safety function. (See separate criterion for late surveillance tests below.)	3	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).
An event consisting solely of a surveillance test performed after the prescribed surveillance period, and in which the equipment was found to be capable of performing its specified safety function.	4	4	ORPS reporting done by an FM per P 231.1-1.

Subgroup B -- Documented Safety Analysis Inadequacies

Event (Criterion) Nuclear Safety Basis Subgroup B -- Documented Safety Analysis Inadequacies	Sequence	Significance Criteria	Notification to HQ
Determination of a positive Unreviewed Safety Question (USQ) that reveals a currently existing inadequacy in the documented safety analysis (e.g., Safety Analysis Report [SAR] or Basis for Interim Operation [BIO]).	1	2	

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Event (Criterion) Nuclear Safety Basis Subgroup B -- Documented Safety Analysis Inadequacies	Sequence	Significance Criteria	Notification to HQ
Declaration of a potential inadequacy of the documented safety analysis (a potential positive USQ), per 10 CFR 830.203(g).	2	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).

Subgroup C -- Nuclear Criticality Safety

Event (Criterion) Nuclear Safety Basis Subgroup C -- Nuclear Criticality Safety	Sequence	Significance Criteria	Notification to HQ
A loss of multiple nuclear criticality process-condition controls, where processes include operation, transport, and storage of fissionable materials, such that no valid controls are available to prevent a criticality accident.	1	1	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
A loss of one or more nuclear criticality process-condition controls such that an accidental criticality is possible from the loss of an additional process-condition control, where processes include operation, transport, and storage of fissionable materials.	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.

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Group 4 -- Facility Status

Event (Criterion) Facility Status Subgroup A -- Safety Structure/System/Component Degradation	Sequence	Significance Criteria	Notification to HQ
Performance degradation of any Safety Class or Safety Significant Structure, System, or Component (SSC) that prevents satisfactory performance of its design function when it is required to be operable.	1	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).
Performance degradation of any Safety Class SSC when not required to be operable.	2	4	ORPS reporting done by an FM per P 231.1-1.

Event (Criterion) Facility Status Subgroup B -- Operations	Sequence	Significance Criteria	Notification to HQ
A Stop Work Order issued by a DOE office.	1	2	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Actuation of a Safety Class SSC or its alarms resulting from an actual unsafe condition. Spurious alarms (e.g., due to electronic noise, radon/thoron decay) should not be reported.	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Actuation of a Safety Significant Structure, System, or Component (SSC), or its alarms, resulting from an actual unsafe condition. Spurious alarms (e.g., due to electronic noise, radon/thoron decay) should not be reported.	3	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).
Any facility evacuation, not including a precautionary evacuation, in response to an actual event. If the event fell under another reporting criterion, then evacuation should be reported as well by noting multiple reporting criteria for the single occurrence.	4	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).
A facility operational event caused by deviating from a written procedure or using an inadequate procedure resulting in an adverse effect on safety, such as inadvertent facility or operations shutdown (i.e., a change of operational mode or curtailment of work or processes), facility or operations shutdown due to alarm response procedures, inadvertent process liquid transfer, or inadvertent release of hazardous material from its engineered containment.	5	4	ORPS reporting done by an FM per P 231.1-1.
A facility or operations shutdown (i.e., a change of operational mode or curtailment of work or processes) directed by management for safety reasons.	6	4	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
A facility or site stand-down resulting from safety reasons reportable as an occurrence or occurrences. <u>Note:</u> This is a secondary reporting criterion, and does not require a separate occurrence report.	7	4	ORPS reporting done by an FM per P 231.1-1.

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Event (Criterion) Facility Status Subgroup B -- Operations	Sequence	Significance Criteria	Notification to HQ
Any event or condition that would prevent immediate facility or offsite emergency response capabilities.	8	4	ORPS reporting done by an FM per P 231.1-1.

Event (Criterion) Facility Status Subgroup C -- Suspect/Counterfeit Item or Material	Sequence	Significance Criteria	Notification to HQ
<p>Discovery of any suspect/counterfeit item or material found in a Safety Class or Safety Significant Structure, System, or Component (SSC).</p> <p>A suspect item or material is one whose documentation, appearance, performance, material, or other characteristics may have been misrepresented by the vendor, supplier, distributor, or manufacturer. A counterfeit item or material is one for which sufficient evidence exists that deliberate misrepresentation has occurred.</p>	1	3	
Discovery of any suspect/counterfeit item or material other than office supplies, office equipment, or household products.	2	4	ORPS reporting done by an FM per P 231.1-1.
<p>Discovery of any defective item or material, other than a suspect/counterfeit item or material, in any application whose failure could result in a loss of safety function, or present a hazard to public or worker health and safety.</p> <p>A defective item or material is any item or material that does not meet the commercial standard or procurement requirements as defined by catalogues, proposals, procurement specifications, testing requirements, contracts, or the like. It does not include parts or services that fail or are otherwise found to be inadequate because of random failures or errors within the accepted reliability level.</p>	3	4	ORPS reporting done by an FM per P 231.1-1.

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Group 5 -- Environmental

Event (Criterion) Environmental Subgroup A -- Releases	Sequence	Significance Criteria	Notification to HQ
Any release (onsite or offsite) of a hazardous substance, material, waste, or radionuclide from a DOE facility, that is above permitted levels and exceeds the reportable quantities specified in 40 CFR 302 or 40 CFR 355.	1		Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Any discharge that exceeds 100 gallons of oil of any kind or in any form, including, but not limited to, petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredged spoil. For operations involving oil field crude or condensate, any discharge of 100 barrels or more is reportable under this criterion.	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Any release (onsite or offsite) of a hazardous substance, material, waste, or radionuclide from a DOE facility that is above permitted levels and exceeds 50 percent of the reportable quantities specified in 40 CFR 302 or 40 CFR 355.	3	4	ORPS reporting done by an FM per P 231.1-1.
Any release (onsite or offsite) of a hazardous substance, material, waste, or radionuclide from a DOE facility that must be reported to outside agencies in a format other than routine periodic reports. (However, oil spills of less than 10 gallons and with negligible environmental impact need not be reported in ORPS.)	4	4	ORPS reporting done by an FM per P 231.1-1.

Event (Criterion) Environmental Subgroup B -- Ecological and Cultural Resources	Sequence	Significance Criteria	Notification to HQ
Any occurrence causing significant impact to any ecological resource for which DOE is a trustee (e.g., destruction of a critical habitat, damage to an historic/archeological site, damage to wetlands).	1	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.

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Group 6 -- Contamination/Radiation Control

Subgroup A -- Loss of Control of Radioactive Materials

Event (Criterion) Contamination/Radiation Control Subgroup A -- Loss of Control of Radioactive Materials	Sequence	Significance Criteria	Notification to HQ
Identification of radioactive material offsite due to DOE operations/activities that exceeds applicable DOE-approved authorized limits (pursuant to DOE Order 5400.5). This applies to items/areas consisting of radioactive material. This does not apply to items with surface radioactive contamination. See Criterion 6B(1) below for criteria for identification of items with surface radioactive contamination.	1	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Loss of radioactive material that exceeds 100 times the quantities specified in 10 CFR Part 835, Appendix E (excluding consumer products such as smoke detectors), or loss of accountability of such material for more than 24 hours. The 24-hour time period begins when the loss of accountability is discovered.	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Loss of radioactive material which exceeds 100 times the quantities specified in 10 CFR Part 835, Appendix E (excluding consumer products such as smoke detectors) or loss of accountability of such material for more than 24 hours. The 24-hour time period begins when the loss of accountability is discovered.	3	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).

Subgroup B -- Spread of Radioactive Contamination

Event (Criterion) Contamination/Radiation Control Subgroup B -- Spread of Radioactive Contamination	Sequence	Significance Criteria	Notification to HQ
<p>Identification of radioactive contamination offsite due to DOE operations/activities that exceeds applicable DOE-approved authorized limits (pursuant to DOE Order 5400.5) or, if there are none, the values found in 10 CFR Part 835, Appendix D.</p> <p><u>Note:</u> All releases of property containing or potentially containing residual radioactivity are subject to requirements in DOE Order 5400.5. Compliance with 10 CFR Part 835, Appendix D values does not necessarily satisfy the requirements in DOE Order 5400.5.</p>	1	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
<p>Identification of onsite radioactive contamination greater than 100 times the total contamination values in 10 CFR 835 Appendix D and that is found outside of the following locations: Contamination Areas, High Contamination Areas, Airborne Radioactivity Areas, Radiological Buffer Areas, and areas controlled in accordance with 10 CFR 835.1102(c). For tritium, the reporting threshold is 100 times the removable contamination values in 10 CFR Part 835, Appendix D.</p> <p><u>Notes:</u> (a) This does not apply to contamination from residual radioactive material meeting applicable DOE-approved authorized limits.</p>	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.

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Event (Criterion) Contamination/Radiation Control Subgroup B -- Spread of Radioactive Contamination	Sequence	Significance Criteria	Notification to HQ
<p>(b) This also does not apply to legacy radioactive contamination, which will be reported under a separate criterion below.</p> <p>(c) The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established next to a Contamination Area, High Contamination Area or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-99.</p>			
<p>Identification of onsite radioactive contamination greater than 10 times the total contamination values in 10 CFR 835 Appendix D and that is found outside of the following locations: Contamination Areas, High Contamination Areas or Airborne Radioactivity Areas, and areas controlled in accordance with 10 CFR 835.1102(c). For tritium, the reporting threshold is 10 times the removable contamination values in 10 CFR Part 835, Appendix D.</p> <p><u>Notes:</u></p> <p>(a) This does not apply to contamination from residual radioactive material meeting applicable DOE-approved authorized limits.</p> <p>(b) This also does not apply to legacy radioactive contamination, which will be reported under a separate criterion below.</p> <p>(c) The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established next to a Contamination Area, High Contamination Area or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-99.</p>	3	3	<p>Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).</p>
<p>Identification of onsite legacy radioactive contamination greater than 10 times the total contamination values in 10 CFR 835 Appendix D and that is found outside of the following locations: Contamination Areas, High Contamination Areas, Airborne Radioactivity Areas, Radiological Buffer Areas, and areas controlled in accordance with 10 CFR 835.1102(c). For tritium, the reporting threshold is 10 times the removable contamination values in 10 CFR Part 835, Appendix D.</p> <p><u>Note:</u></p> <p>(a) Legacy radioactive contamination is radioactive contamination resulting from historical operations that are unrelated to current activities.</p> <p>(b) This does not apply to contamination from residual radioactive material meeting applicable DOE-approved authorized limits.</p> <p>(c) The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established next to a Contamination Area, High Contamination Area, or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-99.</p>	4	4	<p>ORPS reporting done by an FM per P 231.1-1.</p>

Subgroup C -- Radiation Exposure

Event (Criterion) Contamination/Radiation Control Subgroup C -- Radiation Exposure	Sequence	Significance Criteria	Notification to HQ
Determination of a dose that exceeds the limits specified in 10 CFR Part 835, Subpart C, Occupational Radiation Protection or DOE Order 5400.5, Chapter II, Item 1 (i.e., 100 mrem Total Effective Dose Equivalent [TEDE] for offsite exposures to a member of the public).	1	1	1
Any unmonitored exposure that exceeds the values for providing personnel dosimeters and bioassays as stated in 10 CFR 835.402(a) or 10 CFR 835.402(c).	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Any single occupational exposure that exceeds an expected exposure or dosimetry result by (1) 500 mrem Committed Effective Dose Equivalent (CEDE) or (2) the greater of 10 percent or 100-mrem effective dose equivalent due to external exposure.	3	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).
Determination of an estimated annual dose that exceeds 10 mrem Total Effective Dose Equivalent (TEDE) for offsite exposures to a member of the public from air pathways only.	4	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).

Subgroup D Personnel Contamination

Event (Criterion) Contamination/Radiation Control Subgroup D -- Personnel Contamination	Sequence	Significance Criteria	Notification to HQ
Any occurrence requiring offsite medical assistance for contamination offsite medical facility or bringing offsite medical personnel onsite	1	2	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
Identification of personnel or clothing contamination offsite due to DOE operations that exceeds the values for total contamination found in 10 CFR Part 835, Appendix D. For tritium use the values for removable contamination found in 10 CFR Part 835, Appendix D.	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Any onsite contamination of personnel or clothing (excluding site-provided protective clothing) that exceeds 10 times the values for total contamination identified in 10 CFR Part 835, Appendix D. The contamination level must be based on direct measurement and not averaged over any area. This criterion does not apply to tritium contamination.	3	4	ORPS reporting done by an FM per P 231.1-1.

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Group 7 -- Nuclear Explosive Safety

Event (Criterion) Nuclear Explosive Safety	Sequence	Significance Criteria	Notification to HQ
Damage to a nuclear explosive that results in a credible threat to nuclear explosive safety.	1	1	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
The unauthorized introduction of electrical energy into a nuclear explosive.	2	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
The unauthorized compromise of a nuclear explosive safety feature when installed on a nuclear explosive.	3	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Inadvertent substitution of a nuclear explosive for a nuclear explosive-like assembly (NELA) or vice versa.	4	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
A violation of a nuclear explosive safety rule (NESR).	5	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
Damage to a training unit during training operations indicative of a hazard to a nuclear explosive.	6	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
The use of uncertified personnel or unauthorized equipment/tooling during a nuclear explosive operation.	7	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).
A violation of the two-person concept of operations.	8	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).

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Event (Criterion) Nuclear Explosive Safety	Sequence	Significance Criteria	Notification to HQ
Revocation of the Personnel Assurance Program (PAP) certification of an individual (for cause).	9	3	Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).

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Group 8 -- Transportation

Event (Criterion) Transportation	Sequence	Significance Criteria	Notification to HQ
<p>Any offsite transportation incident involving hazardous materials that would require immediate notice pursuant to 49 CFR Part 171.15, namely:</p> <p>(a) As a direct result of hazardous materials:</p> <ul style="list-style-type: none"> <li>(i) A person is killed,</li> <li>(ii) A person receives injuries requiring hospitalization,</li> <li>(iii) Estimated property damage exceeds \$50,000,</li> <li>(iv) An evacuation of the general public occurs lasting 1 hour or more,</li> <li>(v) One or more transportation arteries or facilities are closed or shut down for 1 hour or more, or</li> </ul> <p>(b) Fire, breakage, spillage, or suspected radioactive contamination occurs involving shipment of radioactive materials, or</p> <p>(c) Fire, breakage, spillage, or suspected contamination occurs involving shipment of infectious substances (etiologic agents), or</p> <p>(d) There has been a release of a marine pollutant in a quantity exceeding 450 liters (119 gallons) for liquids or 400 kilograms (882 pounds) for solids, or</p> <p>(e) The operational flight pattern or routine of an aircraft is altered.</p>	1	1	<p>Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.</p>
<p>Any offsite transport of hazardous material, including radioactive material, whose quantity or nature (e.g., physical or chemical composition) is different than intended, such that the receiving organization's operations were impacted/disrupted or the transport resulted in the initiation of corrective actions by the originating organization.</p>	2	3	<p>Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).</p>
<p>Any onsite transport of hazardous material, including radioactive material, whose quantity or nature (e.g., physical or chemical composition) is different than intended, such that the receiving organization's operations were impacted/disrupted or the transport resulted in the initiation of corrective actions by the originating organization.</p>	3	4	<p>ORPS reporting done by an FM per P 231.1-1.</p>
<p>Any packaging or transportation activity involving the onsite release of radioactive materials, etiologic agents, hazardous substances, hazardous waste, or marine pollutants.</p>	4	4	<p>ORPS reporting done by an FM per P 231.1-1.</p>

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Group 9 -- Noncompliance Notifications

Event (Criterion) Noncompliance Notifications	Sequence	Significance Criteria	Notification to HQ
<p>Any enforcement action (other than associated with the Price Anderson Amendment Act) involving 10 or more cited violations, and/or an assessed fine of \$10,000 or more.</p> <p><u>Note:</u> This criterion applies to the enforcement action as initially received from the regulator. Thus the enforcement action would still be reportable even if the fine is later reduced below \$10,000 or the number of violations reduced below 10.</p>	1	3	<p>Prompt notification to the FR for ORPS reporting (see P 231.1-1 for more information).</p>
<p>Any written notification from an outside regulatory agency that a site/facility is considered to be in noncompliance with a schedule or requirement (e.g., Notice of Violation, Notice of Intent to Sue, Notice of Noncompliance, Warning Letter, Finding of Violation, Finding of Alleged Violation, Administrative Order, or a similar type of notification or enforcement action).</p>	2	4	<p>ORPS reporting done by an FM per P 231.1-1.</p>

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Group 10 -- Management Concerns/Issues

Event (Criterion) Management Concerns/Issues	Sequence	Significance Criteria	Notification to HQ
<p>Any event resulting in the initiation of a Type A or B investigation as categorized by DOE Order 225.1A, <i>Accident Investigation</i>.</p> <p><b>Note:</b> This reporting criterion may raise the significance category of an occurrence already reported under separate criteria. Multiple reporting criteria should be noted when appropriate.</p>	1	2	Prompt notification to the FR for determination whether the event should also be reported to HQ EOC; otherwise, the FMs follow ORPS reporting per P 231.1-1.
<p>An event, condition, or series of events that does not meet any of the other reporting criteria, but is determined by the <b>Facility Manager</b> or line management to be of safety significance or of concern to other facilities or activities in the DOE complex. One of the four significance categories should be assigned to the occurrence, based on an evaluation of the potential risks and the corrective actions taken.</p> <p><b>Note:</b> A SC 1 occurrence report requires Prompt Notification.</p>	2	1-4	If the SC is determined to be (1), prompt notification is required. Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
<p>A near miss, where no barrier or only one barrier prevented an event from having a reportable consequence. One of the four significance categories should be assigned to the near miss, based on the potential consequences of the event and the corrective actions taken.</p> <p><b>Note:</b> A SC 1 occurrence report requires Prompt Notification.</p>	3	1-4	If the SC is determined to be (1), prompt notification is required. Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
<p>Any occurrence that may result in a significant concern by affected state, tribal, or local officials, press, or general population; that could damage the credibility of the Department; or that may result in inquiries to Headquarters.</p>	4	4	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.
<p>Any occurrence of such significant immediate interest to offsite personnel and organizations that it warrants prompt notification to the DOE Headquarters Operations Center (DOE HQ OC), and which is not already designated elsewhere in this set of reporting criteria to have prompt notification.</p>	5	4	Prompt Notification: By an ED if the EOC is activated; by an FM if the EOC is not activated. See P 231.1-1 for written notification schedule.

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### ATTACHMENT III

#### Security and FBI Reporting

## SECURITY AND FBI REPORTING

The listing in the following table was generated from DOE Notice 471.3, Reporting Incidents of Security Concern. If any of the following incidents occurs, security managers for NETL have a separate programmatic responsibility to follow DOE reporting protocols to HQ. These incidents require a notification to Allen Lichvar so that he may fulfill these duties though initial response may occur from the ERO.

Access and implement the instructions for Attachment 2 for requirements of notifications to DOE HQ EOC which are also security categories.

The FBI should be contacted and notified of any event that appears to be related to a form of terrorism. The FBI would like notification even without complete information verifying that it is an actual act of terrorism so that they can be ready to respond if the incident is verified to fall into one of the categories listed in the table. This includes acts of bioterrorism, chemical, and radiological incidents or other terroristic events such as bomb threats or sabotage. Events such as this which require outside assistance from HAZMAT teams, bomb squads, etc, should also be reported to the FBI. Contact the Joint Terrorism Task Force to report these incidents in a timely manner. The FBI has indicated that calling them should not delay immediate response, but notification after local responders have been called would be appropriate. If the event is at the Morgantown site, call (304) 625-9768. If the event is at the Pittsburgh site, call (412) 432 4000.

A. Incidents that pose an immediate danger or short-term threat to national security interests and/or critical Department of Energy assets, potentially create a serious security situation, or create high visibility media interest.	S&SO: Report to DOE Within 1 Hour	S&SO: Report to DOE Within 8 Hours	S&SO: Report to DOE Monthly	ED/EOCC or S&SO: Report to FBI
Confirmed or suspected loss, theft, or diversion of a nuclear device or components.	X			X
Confirmed or suspected loss, theft, diversion, or unauthorized release of weapon data.	X			X
Confirmed or suspected loss, theft, or diversion of Category I/II quantities of Special Nuclear Materials (SNM).	X			X
Confirmed or suspected loss, theft, diversion, unauthorized release of TOP SECRET information, Special Access Program (SAP) information, or Sensitive Compartmentalized Information (SCI).	X			X
Confirmed or suspected intrusions, hacking, or break-ins into DOE computer systems containing TOP SECRET, SAP, or SCI information.	X			X
Confirmed or suspected physical intrusion attempts or attacks against DOE facilities containing critical nuclear devices, materials, information, or assets.	X			X
Confirmed or suspected attacks against DOE federal and contractor employees that adversely impact a facility's or site's security posture.	X			X
Confirmed or suspected acts or attempts of terrorist-type actions.	X			X
Any security incident that could create immediate high-visibility media attention or create a situation requiring high-level Departmental management intervention.	X			X
Validated threat notifications, via any medium or source, that immediately endanger personnel health or safety and that could require immediate protective force/law enforcement intervention.	X			X
Confirmed or suspected acts of sabotage occurring at any DOE facility that places the safety or security of personnel, facilities, or the public at risk.	X			X

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B. Incidents that pose a near- or long-term threat to national security interests and/or critical Department of Energy assets or that potentially create a crisis or dangerous situation.	S&SO: Report to DOE within 1 Hour	S&SO: Report to DOE Within 8 Hours	S&SO: Report to DOE Monthly	ED/EOCC or S&SO: Report to FBI
Suspected loss, theft, or diversion of any non-SNM radioactive, sensitive, or dangerous materials that could pose a health threat or endanger security.		X		X
Confirmed or suspected intrusions, hacking, or break-ins into DOE computer systems containing SECRET or CONFIDENTIAL information.		X		X
Any amount of SNM found in an exceptionally dangerous/unaccounted storage environment or unapproved mode of transportation/transfer.		X		X
Alarms or other loss detection indicators, excluding inventory differences or shipper-receiver differences for Category I or II material balance areas that cannot be proven to be false within 24 hours.		X		X
Confirmed or suspected unauthorized disclosure, loss/potential loss of SECRET matter via any medium, method, or action.		X		X
Actual or suspected technical interceptions of any level of classified information.		X		X
Actions, electronic, physical, or by other methods, that interfere with any DOE safeguards and security practices.		X		X
Validated threat notifications, via any media or source, that do not appear to immediately threaten personal safety or health.		X		X
Loss of classified information that must be reported to other Government agencies or foreign associates.		X		X
Unsecured classified repositories of any type including safes, doors, or other protective encasements, that contain TOP SECRET, SAP, SCI information.		X		X
The loss of any DOE classified interest that requires State or local government or other Federal agency notification.		X		X

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C. Incidents that could pose long-term threats to Department of Energy security interest or that potentially degrade the overall effectiveness of the Department's protection program.	S&SO: Report to DOE Within 1 Hour	S&SO: Report to DOE Within 8 Hours	S&SO: Report to DOE Monthly	ED/EOCC or S&SO: Report to FBI
A shipper-receiver difference involving a gain in the number of items for which the additional items total to a Category I or II quantity of SNM.		X		
Bomb-related incidents at any DOE nuclear or non-nuclear facility including location of a suspected device.		X		X
Confirmed or suspected unauthorized disclosure, loss/potential loss of CONFIDENTIAL matter via any medium, method, or action.		X		X
Confirmed or alleged noncompliance with laws or Departmental standards that jeopardizes the protection of the facility or site security interests.		X		
Demonstrations or protestors that cause site and facility damage.		X		X
Labor strikes that could degrade or interfere with required protection for the facility's or site's protection responsibilities.		X		X
Physical violence or threat of retaliation against facility security personnel.		X		X
Dangerous weapons and firearms-related incidents involving protective force operations/personnel (i.e., accidental weapons discharge, personal wounding).		X		
Loss or theft of DOE firearms, per DOE Order 473.2, PROTECTIVE FORCE PROGRAM.		X		X If theft value is more than \$5000.
Unplanned/unscheduled power outages that cause a disruption/degradation of physical security systems and that would allow unauthorized or undetected access to access controlled/protected areas.		X		X If the outage is caused by outside activity or is not part of a scheduled power outage, or immediately attributable to known sources.

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C. Incidents that could pose long-term threats to Department of Energy security interest or that potentially degrade the overall effectiveness of the Department's protection program.	S&SO: Report to DOE Within 1 Hour	S&SO: Report to DOE Within 8 Hours	S&SO: Report to DOE Monthly	ED/EOCC or S&SO: Report to FBI
Inventory differences exceeding alarm limits in Category I/II/III SNM material balance areas, or inventory differences greater than 50 g of Tritium, where there is no indication or reason to believe the difference is created by loss, theft, or diversion.		X		
Incidents involving the attempted or actual introduction of controlled and prohibited items (e.g., weapons, drugs, explosive devices, recording equipment, cameras, etc.) into Limited, Exclusion, Protected, or Material Access Areas.		X		X
Discovery of malicious activities, disorderly conduct, or vandalism that disrupts facility activities or causes damage between \$10K and \$100K.		X		X

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D. Incidents that, in combination and over time, could pose a long-term threat to Department of Energy security interests by adversely impacting the level of security awareness and program responsiveness necessary to protect the Department's security interests.	S&SO: Report to DOE Within 1 Hour	S&SO: Report to DOE Within 8 Hours	S&SO: Report to DOE Monthly	ED/EOCC or S&SO: Report to FBI
Identified SNM inventory differences beyond alarm limits in a Category IV SNM material balance area.			X	
Significant shipper/receiver differences that exceed 200 grams of fissile material and the combined limit of error for the shipment.			X	
Alarms or other loss detection indicators, excluding inventory differences and shipper/receiver differences, that involve a Category III or IV quantity of nuclear material.			X	
Confirmed or suspected unauthorized disclosure of UCNI, Export Control, and NNPI information via any medium, method, or action.			X	X
Non-credible bomb threats at any DOE nuclear or non-nuclear facility.			X	
Unsecured classified repositories of any type including safes, doors, or other protective encasements in which no likely classified disclosure occurred. See 1-hour and 8-hour reporting for TOP SECRET, SAP, or SCI information involvement.			X	
Peaceful demonstrations or protests that do not threaten facility or site security interests or activities.			X	
Lapses in administrative procedures contributing to the misuse, misprocessing, or maintenance of security badges and passes.			X	
Loss of security badges in excess of 5 percent of total issued during 1 calendar year.			X	
Lapses in administrative procedures contributing to security problems with foreign visitors.			X	
Classified information sent via e-mail that is contained within the firewall. All parties involved are cleared to the level of information transmitted, and the affected systems are identified, taken off-line, and appropriately stored in approved areas pending sanitization. If greater than 8 hours, such incidents will be handled as a suspected compromise in accordance with its classification level and category.			X	

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D. Incidents that, in combination and over time, could pose a long-term threat to Department of Energy security interests by adversely impacting the level of security awareness and program responsiveness necessary to protect the Department's security interests.	S&SO: Report to DOE Within 1 Hour	S&SO: Report to DOE Within 8 Hours	S&SO: Report to DOE Monthly	ED/EOCC or S&SO: Report to FBI
The blatant misuse of a security badge or pass to circumvent established access control procedures into a security area.			X	
Inexplicably high rate/amount of loss or theft of Government property.			X	X

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